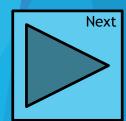


Online Filing in Rhode Island's Uniform Commercial Code (UCC) System

Rhode Island Department of State, Business Services 148 West River Street Providence, RI 02904 401-222-3040

www.sos.ri.gov

corporations@sos.ri.goy

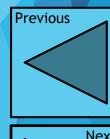


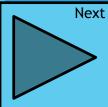


UCC FILING SYSTEM

TUTORIAL OBJECTIVES

- Understand what a Uniform Commercial Code filing is
- Familiarize yourself with the various UCC filings and what they are used for
- Learn how to use the online UCC Filing System
- Access UCC Online Filing Fee Schedule
- Learn how to obtain filing evidence



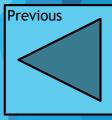


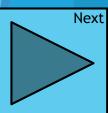


WHAT IS A UCC FILING?

A UCC filing is a public notice of a secured transaction. These public notices are called financing statements. Filings serve to perfect security interest in named collateral and establish priority in case of debtor default or bankruptcy. The Rhode Island Department of State's Online UCC filing system provides users with the capability to file a UCC record electronically.

The filing system can be accessed 24 hours a day 7 days a week at http://ucc.state.ri.us/uccfiling/ucc/uccmenu.aspx







UCC FORMS

ACKNOWLEDGEMENTS
WILL NO LONGER BE
MAILED VIA US MAIL

FINANCING STATEMENT UCC1

A UCC1 Financing Statement is a notice that a creditor files that it has or may have an interest in the personal property of a debtor.

FINANCING STATEMENT AMENDMENT UCC3

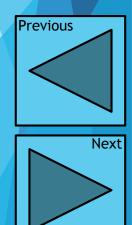
A UCC3 Financing Statement Amendment is used to amend the information for a previously filed UCC1. Amendments may include: termination, continuation, assignment, changes to debtors or secured parties or changes to collateral.

INFORMATION STATEMENT UCC5

A UCC5 Information Statement is used to correct a previously filed UCC1.

INFORMATION REQUEST UCC11

A UCC11 Information Request is used to request a search of UCC records.

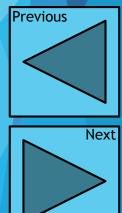




UCC FILING SYSTEM MAIN MENU

WILL NO LONGER BE MAILED VIA US MAIL

	We have recently launched an upgraded UCC System. Click	nere for more	
	information.		
	(* optional value)	help?	
	UCC Main Menu Ucc1 Form You may specify the number of Debtors and Secured Parties.		
	# of Debtors: 1 # of Secured Parties: 1		
	# of Assignees*: 0		
	File a Ucc1		UCC3/5 Types Choi
	Ucc3 Form Enter a valid Ucc-1 filing number or SEARCH for Filing Number Select Ucc3/Ucc5 Type Select File a Ucc3/Ucc5	it.	Select Ucc3/Ucc5 Type Amendment Select Amendment Assignment Continuation Release(Delete Col.) Subordination(Assign Col.)
	Ucc-11 Form File a Ucc11		Termination Statement of Claim
	(* optional value)	help ?	



Rhode Island Department of State - Business Services



UCC1 FINANCING STATEMENT

ACKNOWLEDGEMENTS WILL NO LONGER BE MAILED VIA US MAIL

HOW TO FILE A UCC1

In the UCC Main Menu, go the section displaying "Ucc1 Form." Specify the number of Debtors and Secured Parties. Click "File a Ucc1".

SECTIONS A & B - Filer Information

A. Enter the filer's full name and telephone number. B. Choose whether the acknowledgement will be sent to an organization or individual. Enter contact information including an email address. *AN EMAIL ADDRESS IS REQUIRED*.

SECTION 1 – Debtor Information (Required)

A debtor <u>must</u> be listed. There are 2 debtor types. A debtor can be identified as an organization (entity name) or an individual (surname required) – only one debtor type can be listed. A name and address <u>must</u> be provided. If the number of debtors must be modified, click on "Add Debtor" or "Remove Debtor."

<u>SECTION 2 – Secured Party Information</u> (Required)

A secured party <u>must</u> be listed. There are 2 secured party types. A secured party can be identified as an organization (entity name) **or** an individual (surname required) – only one secured party type can be listed. A name and address <u>must</u> be provided. If the number of secured parties needs to be modified, click on "Add Secured Party" or "Remove Secured Party."

Please click here for detailed search instructions.

SECTION 3 – Assignee Information (Optional)

There are 2 assignee types. An assignee can be identified as an organization (entity name) **or** an individual (surname required) – only one assignee type can be listed. A name and address **must** be provided. If the number of assignees needs to be modified, click on "Add Assignee" or "Remove Assignee."

Collateral/Description

Collateral <u>must</u> be listed. Enter collateral information here or upload a pdf attachment. If applicable, select how collateral is held or administered.

Transaction Type

Select the transaction type by clicking on the drop down menu. A transaction type <u>must</u> be selected.

Alternative Designation

If applicable, select an alternative designation by clicking on the drop down.

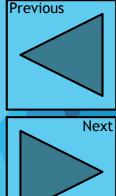
Filer Reference Data (Optional)

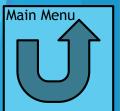
Filer may enter identifying information for their use and convenience.

You are now ready to review your filing by clicking on "Review UCC". After reviewing click submit. Should you need to cancel, click on "Cancel UCC." Follow prompts to enter payment information.

Click here to go to the online UCC filing system

is laland Department of State Illie M. Gorbea attary of State	
UCC FINANCING STATEM	ENT
Today's Date: February 16, 2017 Filing Date: 2/1	6/2017 9:45 AM
A. FILER INFORMATION (optional)	
Full phone Phone	
B. SEND ACKNOWLEDGEMENT TO: (Required)	
Type: ® Organization © Individual	
Organization's Name	
Address	
City State Postal	Code Country USA
SEND ACKNOWLEDGEMENT VIA:	
Email • Email Address:	
(1) Debtor Information (Required)	Add Debtor
Type: ® Organization	
Address	
City State Postal	Code Country USA
(2) Secured Party Information (Required)	Add Secured Party
Type: Organization Individual Remove Secured Part Organization's Name	ty
Address	
City State Postal	Code Country USA
(3) Assignee Information (Optional)	Add Assignee
Collateral / Description	
Callatanal Attachment (DDC). Company of the	
Collateral Attachment (PDF): Choose File No file chosen	
If applicable: Collateral is NODesignation ▼	
Transaction Type Select T	
Alternative Designation (if applicable):	•
Filer Reference Data(optional)	
Review UCC C:	ancel UCC
(* optional value)	help 🖸





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UCC3 FINANCING STATEMENT AMENDMENT

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HOW TO FILE A UCC3 AMENDMENT

In the UCC Main Menu, go the section displaying "Ucc3 Form." Enter the UCC1 file number or search for it. Select the type of filing from the drop down menu then click "File a Ucc3/Ucc5"

From the drop down menu, choose an amendment action.

SECTIONS A & B - Filer Information

A. Enter the filer's full name and telephone number. B. Choose whether the acknowledgement will be sent to an organization or individual. Enter contact information including an email address. AN EMAIL ADDRESS IS REQUIRED.

Current Record Information

To change a debtor's name and/or address of record, select "change debtor" from amendment action drop down menu. To change a secured party's name and/or address of record, select "change secured party" from amendment action drop down menu. Enter current debtor/secured party name.

To delete a debtor or secured party, select action from the drop down menu. Enter name of debtor or secured party that you would like to delete under current record information.

Please click here for detailed search instructions.

To add a debtor or secured party, select action from the drop down menu. Enter name of debtor or secured party that you would like to add under debtor/secured party information.

To add or delete collateral, enter the description that you would like to include or delete in the collateral/description section or upload a PDF attachment.

Alternative Designation

If applicable, select a designation from the drop down menu.

Name Authorizing this Amendment

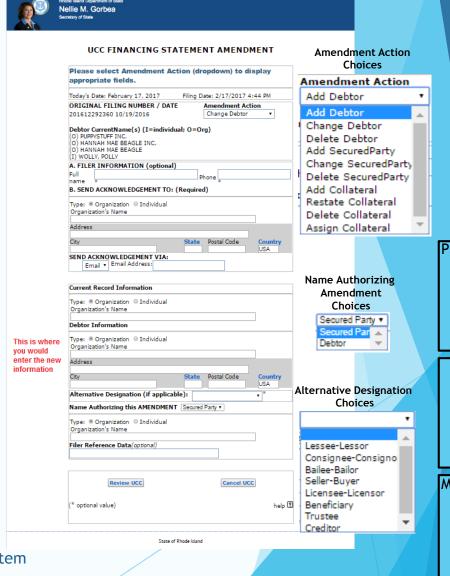
Make a selection from the drop down menu indicating who is authorizing this amendment.

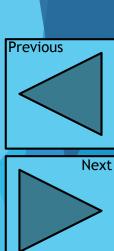
Filer REFERENCE DATA (Optional)

Filer may enter identifying information for their use and convenience.

You are now ready to review your filing by clicking on "Review UCC". After reviewing click submit. Should you need to cancel, click on "Cancel UCC." Follow prompts to enter payment information.

Click <u>here</u> to go to the online UCC filing system







UCC3 FINANCING STATEMENT ASSIGNMENT

ACKNOWLEDGEMENTS WILL NO LONGER BE MAILED VIA US MAIL

HOW TO FILE A UCC3 ASSIGNMENT

In the UCC Main Menu, go the section displaying "Ucc3 Form." Enter the UCC1 file number or search for it. Select *assignment* as the type of filing from the drop down menu then click "File a Ucc3/Ucc5"

SECTIONS A & B - Filer Information

A. Enter the filer's full name and telephone number. B. Choose whether the acknowledgement will be sent to an organization or individual. Enter contact information including an email address. *AN EMAIL ADDRESS IS REQUIRED*.

Secured Party Information (Required)

A secured party <u>must</u> be listed. There are 2 secured party types. A secured party can be identified as an organization (entity name) **or** an individual (surname required) – only one secured party type can be listed. A name and address **must** be provided.

Assignee Information (Required)

There are 2 assignee types. An assignee can be identified as an organization (entity name) **or** an individual (surname required) – only one assignee type can be listed. A name and address **must** be provided. If the number of assignees needs to be modified, click on "Add Assignee" or "Remove Assignee."

Name Authorizing this Amendment

Defaults to secured party.

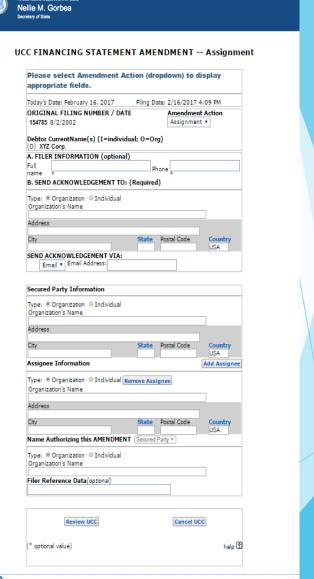
Filer Reference Data (Optional)

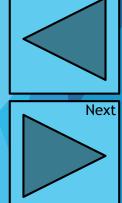
Filer may enter identifying information for their use and convenience.

You are now ready to review your filing by clicking on "Review UCC". After reviewing click submit.

Should you need to cancel, click on "Cancel UCC."

You are now ready to review your filing by clicking on "Review UCC". After reviewing click submit. Should you need to cancel, click on "Cancel UCC." Follow prompts to enter payment information.





Previous



Please click here for detailed search instructions.

Click here to go to the online UCC filing system

State of Rhode Island



UCC3 FINANCING STATEMENT CONTINUATION

ACKNOWLEDGEMENTS WILL NO LONGER BE MAILED VIA US MAIL

HOW TO FILE A UCC3 CONTINUATION

In the UCC Main Menu, go the section displaying "Ucc3 Form." Enter the UCC1 file number or search for it. Select *continuation* as the type of filing from the drop down menu then click "File a Ucc3/Ucc5"

SECTIONS A & B - Filer Information

A. Enter the filer's full name and telephone number. B. Choose whether the acknowledgement will be sent to an organization or individual. Enter contact information including an email address. *AN EMAIL ADDRESS IS REQUIRED*.

Name Authorizing this Amendment

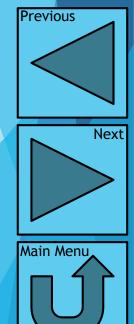
Defaults to secured party.

Filer Reference Data (Optional)

Filer may enter identifying information for their use and convenience.

You are now ready to review your filing by clicking on "Review UCC". After reviewing click submit. Should you need to cancel, click on "Cancel UCC." Follow prompts to enter payment information.

Nellie M. Gorbea **UCC FINANCING STATEMENT AMENDMENT -- Continuation** Please select Amendment Action (dropdown) to display appropriate fields. Today's Date: February 16, 2017 Filing Date: 2/16/2017 4:14 PM ORIGINAL FILING NUMBER / DATE 154785 8/2/2002 Continuation • Debtor CurrentName(s) (I=individual; O=Org) A. FILER INFORMATION (optional) B. SEND ACKNOWLEDGEMENT TO: (Required) Type: ® Organization © Individual Organization's Name SEND ACKNOWLEDGEMENT VIA: Email • Email Address: Name Authorizing this AMENDMENT Secured Party • Type: @ Organization O Individual Organization's Name Filer Reference Data(optional) Review UCC Cancel UCC help 🕐 optional value State of Rhode Island



Please click <u>here</u> for detailed search instructions.

Click <u>here</u> to go to the online UCC filing system



UCC3 FINANCING STATEMENT RELEASE

ACKNOWLEDGEMENTS WILL NO LONGER BE MAILED VIA US MAIL

HOW TO FILE A UCC3 RELEASE DELETE COLLATERAL

In the UCC Main Menu, go the section displaying "Ucc3 Form." Enter the UCC1 file number or search for it. Select Release(Delete Col.) as the type of filing from the drop down menu then click "File a Ucc3/Ucc5"

SECTIONS A & B – Filer Information

A. Enter the filer's full name and telephone number. B. Choose whether the acknowledgement will be sent to an organization or individual. Enter contact information including an email address. AN EMAIL ADDRESS IS REQUIRED.

Collateral/Description

Enter a description of the collateral or upload a pdf file.

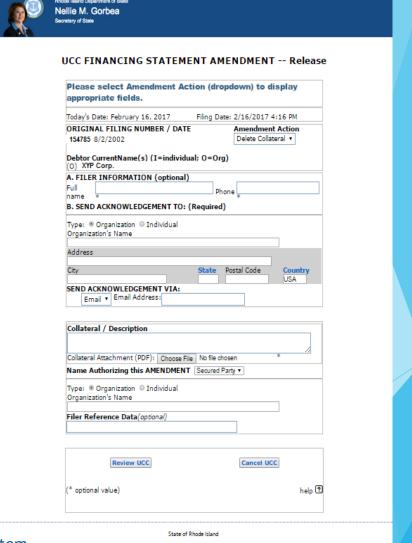
Name Authorizing this Amendment

Make a selection from the drop down menu indicating who is authorizing this amendment, "debtor" or "secured party". Select the type authorizing this amendment, whether an organization or an individual.

Filer Reference Data (Optional)

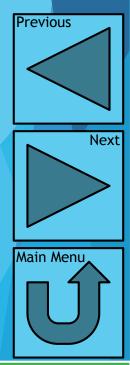
Filer may enter identifying information for their use and convenience.

You are now ready to review your filing by clicking on "Review UCC". After reviewing click submit. Should you need to cancel, click on "Cancel UCC." Follow prompts to enter payment information.



Please click here for detailed search instructions.

Click here to go to the online UCC filing system



Filing Date: 2/16/2017 4:18 PM

Assign Collateral *

UCC FINANCING STATEMENT AMENDMENT -- Subordination

Please select Amendment Action (dropdown) to display



UCC3 FINANCING STATEMENT **SUBORDINATION**

ACKNOWLEDGEMENTS WILL NO LONGER BE MAILED VIA US MAIL

HOW TO FILE A UCC3 SUBORDINATION ASSIGN COLLLATERAL

In the UCC Main Menu, go the section displaying "Ucc3 Form." Enter the UCC1 file number or search for it. Select Subordination (Assign. Col.) as the type of filing from the drop down menu then click "File a Ucc3/Ucc5"

SECTIONS A & B – Filer Information

A. Enter the filer's full name and telephone number. B. Choose whether the acknowledgement will be sent to an organization or individual. Enter contact information including an email address. AN EMAIL ADDRESS IS REQUIRED.

Collateral/Description

Enter a description of the collateral or upload a pdf file.

Name Authorizing this Amendment

Make a selection from the drop down menu indicating who is authorizing this amendment, "debtor" or "secured party". Select the type authorizing this amendment, whether an organization or an individual.

Filer Reference Data (Optional)

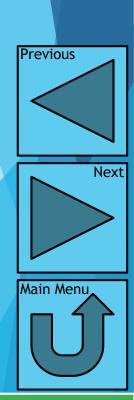
Filer may enter identifying information for their use and convenience.

You are now ready to review your filing by clicking on "Review UCC". After reviewing click submit. Should you need to cancel, click on "Cancel UCC." Follow prompts to enter payment information.

A. FILER INFORMATION (optional) B. SEND ACKNOWLEDGEMENT TO: (Required) Type:
Organization
Individual Organization's Name SEND ACKNOWLEDGEMENT VIA: Email v Email Address: Collateral / Description Collateral Attachment (PDF): Choose File No file chosen Name Authorizing this AMENDMENT Secured Party • Type: ® Organization 🔍 Individual Organization's Name Filer Reference Data(optional) Review UCC Cancel UCC help 🕐 optional value) State of Rhode Island

Please click here for detailed search instructions.

Click here to go to the online UCC filing system



Nellie M. Gorbea

appropriate fields

154785 8/2/2002

Today's Date: February 16, 2017

Debtor CurrentName(s) (I=individual; O=Org)



UCC3 FINANCING STATEMENT TERMINATION

WILL NO LONGER BE MAILED VIA US MAIL

HOW TO FILE A UCC3 TERMINATION

In the UCC Main Menu, go the section displaying "Ucc3 Form." Enter the UCC1 file number or search for it. Select *termination* as the type of filing from the drop down menu then click "File a Ucc3/Ucc5"

Indicate whether the termination is by the secured party or debtor from the drop down menu.

SECTIONS A & B - Filer Information

A. Enter the filer's full name and telephone number. B. Choose whether the acknowledgement will be sent to an organization or individual. Enter contact information including an email address. AN EMAIL ADDRESS IS REQUIRED.

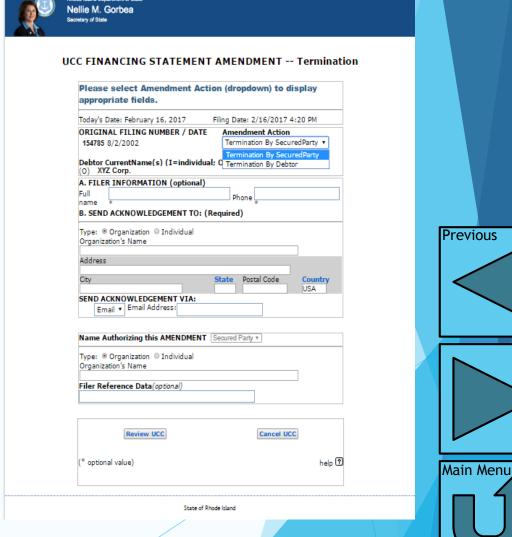
Name Authorizing this Amendment

Defaults to secured party.

Filer Reference Data (Optional)

Filer may enter identifying information for their use and convenience.

You are now ready to review your filing by clicking on "Review UCC". After reviewing click submit. Should you need to cancel, click on "Cancel UCC." Follow prompts to enter payment information.



Next

Please click here for detailed search instructions.

Click <u>here</u> to go to the online UCC filing system



UCC5 INFORMATION STATEMENT

ACKNOWLEDGEMENTS
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HOW TO FILE A UCC5 STATEMENT OF CLAIM

In the UCC Main Menu, go the section displaying "Ucc3 Form." Enter the UCC1 file number or search for it. Select *Statement of Claim* as the type of filing from the drop down menu then click "File a Ucc3/Ucc5"

SECTIONS A & B - Filer Information

A. Enter the filer's full name and telephone number. B. Choose whether the acknowledgement will be sent to an organization or individual. Enter contact information including an email address. *AN EMAIL ADDRESS IS REQUIRED.*

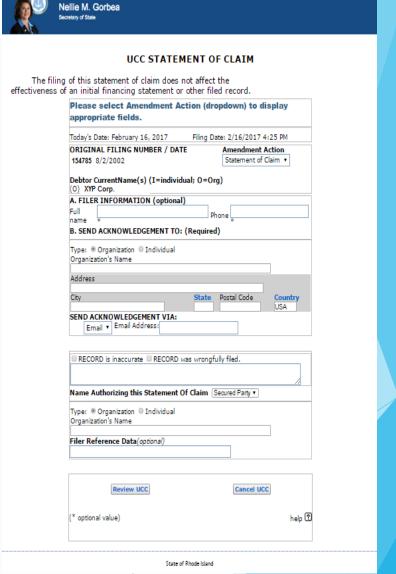
Select whether the record is *inaccurate* or was *wrongfully filed*. Enter a description of the claim.

Name Authorizing this Statement of Claim Defaults to secured party.

Filer Reference Data (Optional)

Filer may enter identifying information for their use and convenience.

You are now ready to review your filing by clicking on "Review UCC". After reviewing click submit. Should you need to cancel, click on "Cancel UCC." Follow prompts to enter payment information.



Previous

Main Menu

Next

Please click here for detailed search instructions.

Click here to go to the online UCC filing system





UCC11 INFORMATION REQUEST

ACKNOWLEDGEMENTS WILL NO LONGER BE MAILED VIA US MAIL

HOW TO FILE A UCC11

In the UCC Main Menu, go the section displaying "Ucc-11 Form." Click on *File a Ucc11*.

1. Complete Mailing Information SECTIONS A & B - Filer Information

A. Enter the filer's full name and telephone number.

B. Choose whether the acknowledgement will be sent to an organization or individual.

2. Select a Method to Request Certified Information

The three methods of requesting information are as follows: by Filing Number, Organization Name or Individual Name.

By Certified Copy

Enter the UCC Filing Number, for multiple numbers, use the comma separated list, NO spaces. Click on "Request Certified Copy(s).

By Organization Name

Enter the organization name, city and state (optional). Enter a date in the field "only search records after the date" or leave empty to search all records. Select whether you would like to include ALL or ACTIVE filings.

ALL includes filings that are more than one year past lapse date.

ACTIVE includes all unlapsed filings plus one year. Click on "Request Listing by Organization Name".

Bv Individual Name

Enter the individual's last name, first name, city and state (optional). Enter a date in the field "only search records after the date" or leave empty to search all records. Select whether you would like to include ALL or ACTIVE filings.

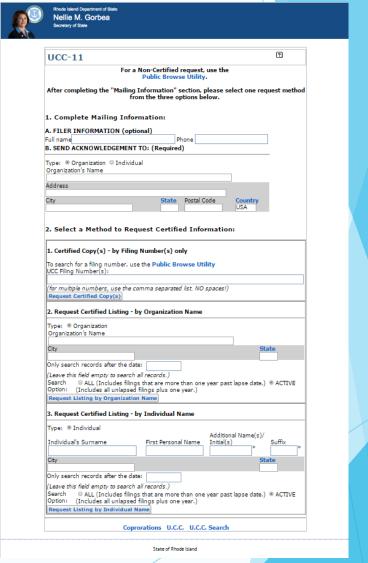
ALL includes filings that are more than one year past lapse date.

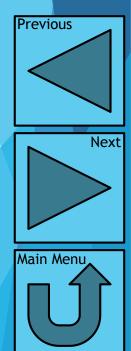
ACTIVE includes all unlapsed filings plus one year. Click on "Request Listing by Individual Name".

Review submitted information and click either "yes" or no" to answer if the information is correct. Follow prompts to enter payment information.

Please click here for detailed search instructions.

Click here to go to the online UCC filing system



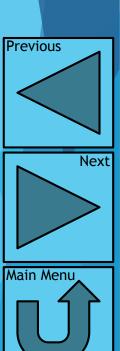




UCC FILING FEES

FORM	DESCRIPTION	FEE	ENHANCED FEE
UCC1	FINANCING STATEMENT	\$8.00	\$2.00
UCC3	FINANCING STATEMENT AMENDMENT	\$8.00	\$2.00
UCC5	INFORMATION STATEMENT	\$8.00	\$2.00
UCC11	INFORMATION REQUEST	\$5.00	\$2.00
	CERTIFIED COPY(IES) BY FILE NUMBER	\$5.00 PER FILE NUMBER AND \$0.15 PER PAGE	

Please click <u>here</u> for detailed search instructions. Click <u>here</u> to go to the online UCC filing system

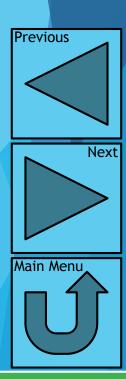




HOW TO GET FILING EVIDENCE

If you do not receive an Acknowledgement or if you would like to obtain a copy of any recorded UCC, follow these steps:

- Go to our UCC Database
- To search for a UCC1 you must search by debtor name
- To search for a UCC3 you can search by file number or debtor name
- Click on the filing number to view the filing
- Click on the PDF link to view and print the filing



Please click <u>here</u> for detailed search instructions. Click <u>here</u> to go to the online UCC filing system



THANK YOU

FOR VISITING THE RHODE ISLAND
DEPARTMENT OF STATE'S WEBSITE AND FOR
USING OUR TUTORIAL!

